



1. Purpose

Information and Records Management is the systematic management of all records, created or received at any site operated by the Catholic District School Board of Eastern Ontario, to their final disposition (destruction or archival retention). Record keeping practices must comply with the *Municipal Freedom of Information and Protection of Privacy Act* and relevant provisions of the Education Act.” All general information in the custody and control of the Board, that is not confidential, or subject to an exemption set out in the *Municipal Freedom of Information and Protection of Privacy Act*, shall be publicly accessible.

The Records Management program is intended to:

- protect the legal, fiscal and other interests of the Board and the public by ensuring the ongoing availability, integrity, preservation and security of all recorded information created, commissioned or acquired by the Board;
- ensure that the record management process and storage facilities are effective;
- ensure the preservation of all recorded information of permanent value;
- identify appropriate roles and responsibilities for the efficient management of recorded information;
- identify when records are to be retained or destroyed.

2. Records Management Principles

The following principles form the basis for the Board’s Records Management program:

- Recorded information is a vital public resource to be managed effectively to ensure its continued availability, integrity, preservation and security from its initial creation or acquisition to its final disposition, following appropriately defined cycles of retention and disposal;
- All staff are responsible for Records Management within their assigned School/Department or assigned position within the Board;
- Department/school administrators are accountable for managing the recorded information under their control and custody, including records created or maintained by a third party on their behalf;
- Personal information collected by the Board or by a school within the Board and student records must be retained for the minimum periods required by law;
- Timely disposal must be ensured for recorded information that has been identified as not having archival value;
- All recorded information of archival value is to be preserved;



3. Definition of Recorded Information

Recorded information for the purpose of this procedure includes, but is not limited to, the information contained in any record such as:

Legal - Board minutes, correspondence, memoranda, reports, student records, drawings, microform records (microfilm, microfiche), electronic and all other machine readable records, any record produced by means of computer hardware and software.

Historical - books, journals or published reports which are, or will, form part of catalogued library of holdings, publications/brochures, forms, plans/maps, photographs/films, sound recordings/videotapes, pictorial/graphic works.

Administrative - duplicate records preserved within the same medium of storage and retained solely for convenience, reference or future dissemination.

4. Procedure

4.1 Responsibilities

- a) The Director of Education is responsible for establishing and implementing a management system of all records and information under the Board's control and may designate, in writing, an individual(s) within the school board who is accountable for compliance with applicable privacy legislation.
- b) The Records Management Coordinator is responsible for ensuring that all Board records metadata is accessible and catalogued, and that all departments submit a **Records Inventory Worksheet** (Form 1A) at the time a record is created (see section 4.7 b. of this procedure). Additionally the coordinator must ensure that all records are destroyed according to the retention schedule on an annual basis, and that an **Authorization for Destruction** (Form 2) is submitted by the department assigned to that records series.
- c) Department Managers and Supervisory Officers (Board and Schools) are responsible for ensuring that each records series assigned to the department is managed by the department Manager or Superintendent, or that responsibility for retaining the information is assigned to a Records Custodian. The department Manager or Superintendent is responsible for ensuring that the department meets its records obligations.
- d) The Records Custodian is responsible for ensuring that each records series assigned to its department is documented, retained, submitted to the Records Management Coordinator, and destroyed according to the Records Retention Schedule. The Records Custodian is appointed in each department by the Manager, Principal or Supervisory Officer, who must submit a **Declaration of Records Custodian** (Form 3) to the Records Management Coordinator.
- e) Staff awareness, understanding of, and commitment to managing information assets and protecting privacy and confidentiality at all levels of the organization is paramount. All employees have a legal obligation to adhere to the procedures outlined in this document.



4.2 Schools

- a) Schools will be responsible for the effective management of records created and/or used at the school.
- b) A centralized Records Centre will maintain records which are not frequently needed but must be retained for a number of years. Records are to be labeled and organized for efficient retrieval and destruction as outlined in section **4.8 Storage of Inactive Records Off-site**.
- c) Process for the storage, access and retention of Ontario Student Records is outlined specifically in Board Administrative Procedure F2:2 – OSRs.

4.3 Archives

Although the Records Management procedure has been designed to specifically address the establishment of a records management system, special consideration is also given to those records identified in the schedule as having archival value. These records, although no longer required for daily administrative purposes, contain information which is of value for both long-term use and for historical reference. The archival program will effectively store records which are to be kept permanently once the original operational need for the record has ceased to ensure that valuable documents are not destroyed.

- a) Care must be taken in handling and boxing archival records. Adequate descriptions must be made to permit ready access, and appropriate protective measures must be taken to reduce the wear and tear on records that do not have to be consulted often. See section 4.6 for proper storage requirements and procedures.
- b) The following list provides general information on the types of records which should be maintained as archival for historical and corporate reference:
 - Minutes of Official Meetings;
 - Board Reports;
 - Clippings/Scrapbooks/Photographs;
 - Architectural Plans/Engineering Drawings;
 - Audio Visual Materials;
 - In-House Publications/Brochures/Promotional Material; and
 - Legal Documents.
- c) The Records Management Coordinator should be contacted regarding appropriate legal agreements to donate historical documents and artifacts to an approved archives, local museum or historical society.

4.4 Electronic Records

Electronic files cover a broad range of data and include any named grouping of data such as word processing files, email, directories, spread sheets, databases or any official electronic board documents. An example of these may include, but is not limited to: Board minutes, correspondence, memoranda, reports, student records, journals or published reports which are, or



will, form part of a catalogued library of holdings, publications/brochures, forms, plans/maps, photographs/films, sound recordings/videotapes, pictorial/graphic works, and newsletters. The same issues apply for storage and retention of machine readable records as when dealing with paper documents. They are governed by the statutes that apply to the access, retention, and destruction of all public records and personal information held by public institutions.

To ensure that the information in electronic formats is accessible, work sites/schools will:

- a) Keep a final official copy of all applicable electronic documents in a designated folder on the Board file server site. This folder will be a read-only file which can be accessed by all department members, but which cannot be modified.
- b) Adhere to the retention schedule for the preservation and destruction of all records stored in the electronic database.
- c) The need to maintain electronic records should also be taken into consideration when upgrading software or hardware throughout the system. Electronic files, particularly those designated as permanent records, must be migrated onto the new technology as needed.

4.5 Electronic Data Backup

Electronic data backup is the responsibility of the Assistant Manager of ICT Systems (Information and Communication Technology). The electronic data must be backed up to an offsite storage that is a distance (from its original location) deemed reasonable to protect against local disasters. This backup will be performed using the following rotational schedule:

- a) A full backup of all electronic data will be performed on a nightly basis to 7 daily save sets from Monday to Sunday of every week. These seven daily save sets will be erased and reused from week to week.
- b) A full backup of all electronic data will be performed on a weekly basis to 5 weekly save sets every Friday night. These five weekly save sets will be erased and reused from month to month.
- c) A full backup of all electronic data will be performed on a monthly basis to 12 monthly save sets from January to December on the last day of the month. These twelve monthly save sets will be erased and reused from year to year.
- d) A full backup of all electronic data will be performed on a yearly basis to 7 yearly save sets on the last day of July. These yearly save sets will be erased and reused after 7 years.



4.6 Vital Records

A Vital Records Plan will be developed to identify and protect those records that are vital to getting the system up and running immediately after a disaster, e.g. water damage, fire. It will include a pre-arranged set of scenarios for dealing with system records and back-up copies of vital records. Once identified and duplicated, the record copies are to be kept in a separate and safe location as determined by the department/school administrator. The location of all back-up material will be reported to and maintained by the Records Management Coordinator.

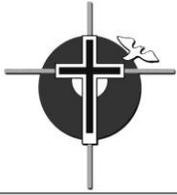
4.7 Records Retention Process

- a) For access and privacy purposes, there should be only one complete official retention copy of each record. Back-up copies should be prepared only when there is sufficient need for authenticity of the original record, when they are considered vital records and to provide ease of access. Electronic material will be backed up in accordance with the schedule developed by Information Technology Services.
- b) At the time of storage, a records box label providing a description of the contents must be affixed to the records storage box before it is stored, to facilitate destruction and dates for moving records to off-site storage, if applicable. Additionally, a **Records Inventory Worksheet** (Form 1A) and accompanying **File List** (Form 1B) must be completed and sent to the Records Management Coordinator.
- c) *Confidential/Personal Information Records*
Confidential records and those containing personal information must be treated as such when storing, maintaining, transferring or destroying them. They are to be destroyed in such a manner that they cannot be read, interpreted or reconstructed in accordance with the provisions of the *Municipal Freedom of Information and Protection of Privacy Act*.
- d) *Imaging*
Records with a remaining retention of 10 years or greater may be imaged at the discretion of the Records Management Coordinator, e.g. OSR's, employee files, permanent financial records, Board/Committee agendas and minutes.

4.8 Storage of Inactive Records Off-site

All records which are currently inactive, but which must be retained for longer periods of time, as defined by the Records Retention Schedule, and which cannot be accommodated by the originating department, must be stored in the Records Storage Facility located at the Cornwall Board Office.

- a) *Preparation of Records* - Records which are being prepared for off-site storage must be indexed using a **Records Inventory Worksheet** (Form 1A) and contents must be indicated using a **File List** (Form B). All records must be boxed in a traditional cardboard bankers box (10" h x 16" d x 12 3/4" w), affixed with a records box label .



- b) Form 1A and 1B must then be submitted to the Records Management Coordinator before being shipped, via internal courier, to the off-site storage location. A copy of the forms should also be placed within the storage box. Any box of records which arrives without the completed form submission will be sent back to the originating department.
- c) *Records Retrieval* - Records stored off-site may be retrieved by sending a written request to the Records Management Coordinator. All external requests from the public are to be directed to the Records Management Coordinator.

4.9 Disposal/Destruction of Records

- a) Records should be reviewed regularly for disposal including electronic and other viable media records, and in accordance with the Board's Retention Schedule. This includes all relative back-up tapes and hard drives.
- b) Duplicate records and temporary working papers such as rough notes or informal drafts are to be destroyed at the time the official records are destroyed as they should not outlive the documents that resulted from them.
- c) Records which include confidential/personal information or are of a sensitive nature are to be destroyed by shredding or by a means to render the information illegible.
- d) In general, the school/department that created or authorized creation of a record is responsible for its retention and disposal, including records stored on a computer. To avoid overloading the storage capacity on a server, the Information Technology Services department may eliminate records after advising the users and allowing a reasonable time for them to destroy the record or make other arrangements for storage.
- e) Most electronic/voice mail and telephone transitory messages are considered short term records and should be disposed of as soon as their purpose has been served. However, if the content of the message or any attachments are considered business records, they fall under the Retention Schedule.
- f) The following is the process for destroying Board/school records:
 - Staff refer to the approved retention schedule for time lines;
 - Once a record is timed for destruction, the originating department must submit an *Authorization for Destruction* (Form 2), to the Records Management Coordinator for approval. This applies to records stored both on and off-site;
 - Once approval has been granted, the record can be destroyed;
 - Destruction records are to be retained permanently by the Records Department;
 - The Retention Schedule must be amended and approved to dispose of a record which is not listed. Departments requesting an amendment must submit a written request to the Records Management Coordinator.
- g) In the event of a school closure/consolidation, the Principal will work with the Records Management Coordinator to complete residual record-keeping requirements for student, administrative and archival records.



- h) If there is a potential lawsuit, investigation or pending audit, related documents will become permanent records.

4.10 Records Retention Schedule

- a) The Records Retention Schedule outlines retention of the Board's records according to their administrative, fiscal, legal, and research/archival value. It includes records that must be retained according to legislation and/or Board procedures and a notation of the archival/historic importance or vital status of each record series, where appropriate.
- b) All recorded information must be identified in a retention schedule and must not be destroyed or removed from the control or custody of the Board except as authorized in the schedule.
- c) The Schedule excludes all reference, resource and library material such as books, articles and external publications which are not official records of the Board.
- d) The following process will be followed in maintaining the Board's retention schedule:
- Train staff in record retention procedures;
 - Establish a regular schedule for disposal of records, normally once a year;
 - Review the retention schedule on a regular basis and update as required.

4.11 Forms

The following forms are applicable and inclusive to this administrative procedure:

- Form 1A: Records Inventory Worksheet
- Form 1B: File List
- Form 2: Authorization for Destruction
- Form 3: Declaration of Records Custodian